

Grantee Name			
Agency Name			
Audit/AUP Year		Points	
1. For one of the grantee's two most recently concluded fiscal years, was the Grantee required to have an annual audit, special audit, or agreed-upon procedures conducted under the Audit Act, Section 12-6-3(A)-(B) NMSA 1978?	a) Yes, and has current audit on file with OSA (0 points) b) Yes, but no current audit on file with OSA - most recent audit < 2 years old (3 points) c) No, identified as Tier 1 or 2 Certification - (Go to question 3) (3 points) d) Yes, but no audit on file with OSA from previous 2 fiscal years (STOP, Fiscal Agent required)		
2. Did the most recently published annual audit report, agreed upon procedures report, or any more recently released special audit report identify material weaknesses, significant deficiencies, or findings that would raise concerns as to the grantee's ability to expend and account for grant funds in accordance with the applicable law and account for and safeguard grant funds and assets acquired with grant funds (Circle only one answer on the right.) Fill in the information below if special conditions are being implemented by the State Agency, or name the fiscal agent if one is being used. If a fiscal agent is being used, please fill out another UFC form for the fiscal agent. Then proceed to question 4.	a) No material weaknesses or significant deficiencies (0 points) b) Material weaknesses or significant deficiencies have been remedied (2 points) c) Special conditions will be implemented by State Agency (5 points) d) Repeated material weaknesses for 2+ years (STOP, Fiscal Agent required)		
3. For a grantee who is not required to have an annual audit or agreed upon procedures conducted under the Audit Act, has the grantee submitted to the State Agency's satisfaction documentation of its accounting methods and procedures (including internal controls) are adequate to ensure that grant funds will be expended and accounted for in accordance with applicable law, account for and safeguard grant funds as well as assets acquired with grant funds? (Circle only one answer on the right.) Fill in the information below if special conditions are being implemented by the State Agency, or name the fiscal agent if one is being used. If a fiscal agent is being used, please fill out another UFC form for the fiscal agent.	a) Adequate accounting methods are in place (0 points) b) Adequate but not to the satisfaction of State Agency (3 points) c) Special conditions will be implemented by State Agency (5 points) d) Unable to demonstrate adequate internal controls (STOP, Fiscal Agent required)		
4. Does the grantee have a duly adopted budget for the current fiscal year and, if required, has its budget been approved by an oversight agency? (Circle the applicable answer on the right.)	a) Yes, duly adopted and approved budget in place (0 points) b) No, current year budget not submitted or not approved by State Agency (5 points)*		
5. Is the Grantee compliant with applicable financial reporting requirements (e.g., Section 6-6-3(B) NMSA 1978)? (Circle the applicable answer on the right).	a) Yes, compliant with reporting requirements (0 points) b) No, not compliant with financial reporting requirements (5 points)*		
* If the answer is "No" to questions 4 or 5, the the agency cannot enter into the IGA until these issues have been remedied.	0-7 points Low Risk 8-15 points Moderate Risk 16-23 points High Risk	Total Points	
Initial UFC Determination:			
Recommended special conditions to be implemented by the State Agency:			
Recommended fiscal agent:			
	Print Name	Signature	Date
Completed By			
Final UFC Determination:			
The following special conditions will be implemented by the State Agency:			
If a fiscal agent is used, please fill out another UFC form. The following fiscal agent will administer the appropriation(s):			
	Print Name	Signature	Date
Approved by Agency CFO:			
Approved & Accepted by:			
Date Received by IPDD	IPDD Staff Member Name	IPDD Signature	Date Uploaded to Share Drive